CHAPTER 5

FORMS

As a Yeoman 3 or Yeoman 2 you should be acquainted with the Navy's forms management system. This system is set up to design, order, and account for forms used by your command. As you become more senior and begin to take on more responsibility, the management of forms within a command may become part of your duties.

The information contained in this chapter should help you to become an effective forms manager. Suggestions given should not be considered all-inclusive; you must use your own imagination and initiative in establishing and carrying out an effective forms control system within your office or command.

Your job as forms manager will become easier, of course, as you gain more experience in the field, but, as with any job in the Navy, it is much more enjoyable when you begin the job with a general knowledge of what is expected. In addition to the material in this chapter, you should become familiar with the *Department of the Navy (DON) Forms Management Program*, SECNAVINST 5213. 10C; *Introducrion, Procurement, and Management of Cognizance Symbol "11" Forms Into the Navy Supply System*, NAVSUPINST 5600.20B, and *Introduction to Navy Stock List of Publications and Forms*, NAVSUP P-2002D.

For the Navy's purpose, the term *form* is defined as all printed or duplicated material, regardless of the method of reproduction, that contains predetermined blank spaces for the insertion of information by hand, typewriter, or other business machine.

IMPORTANCE OF FORMS

The need for forms is well established. They are vital to the effective management of your office and your command because they provide information for formulating policy, controlling and improving operations, and evaluating performance. Operations often depend on forms. Forms guide the movement of materials, the performance of services, the authorization for expenditures, and the payment of money. They provide a basis for clerical and executive actions; they serve as historical references and records. They are the orders, financial accounts, and portions of the reports by which government operates.

FORMS MANAGEMENT

Forms management includes developing and examining the forms themselves, determining how forms relate to the overall efficient operation of the command, and making sure only the most effective forms are used.

Forms management requires a thorough study of your command's organization, workflow, operating policies, and programs, as well as the methods and procedures employed by the command. An important result from a study of forms including their designs and their related procedures should be suggested changes in procedures, record systems, reporting patterns, organization, and so forth.

OBJECTIVES OF FORMS MANAGEMENT

The objectives of forms management at the command level are as follows:

- To make sure necessary forms and related procedures are developed and designed to make the maximum contribution to the command's mission
- To eliminate unnecessary and duplicate forms and, as appropriate, consolidate those serving like or similar functions using, wherever practical, the higher echelon form

RESPONSIBILITIES FOR ADMINISTRATION OF FORMS MANAGEMENT

The *Department of the Navy (DON) Forms Management Program*, SECNAVINST 5213.10C, sets forth principles, techniques, and methods in establishing and administering the forms management program; improving forms and related procedures through analysis; designing forms to Navy standards; and training of personnel in forms management. It is considered to be the primary guide for forms design standards and criteria for the DON.

The Chief of Naval Operations (CNO) exercises overall supervision of the forms management program for the DON, according to the policies and standards established by the Secretary of the Navy. The CNO's responsibilities are the following:

- Develop and coordinate the overall program
- Serve as the single point of contact and liaison with the Office of Secretary of Defense, other components of the Department of Defense, the General Services Administration, and other federal agencies on forms management matters
- Provide related technical guidance and assistance to the Office of the Secretary of the Navy and the DON staff offices
- Develop and publish concepts, guides, techniques, and information for conducting the program, including analysis of forms and related procedures, and standards of design

Under the CNO, the Chief of Naval Material, and the Commander, Naval Supply Systems Command, the Navy Publications and Printing Service Offices (NPPSO) have the following responsibilities:

- Provide for the printing and procurement of forms, including liaison for stocking and distribution
- Recommend consolidation or standardization of existing forms wherever economy can be realized
- provide forms design service to ashore activities and fleet commands that do not have such capability or available service
- Provide forms design training for the DON

Each command is responsible for establishing and maintaining a forms management program. Forms management positions must be established and staffed with trained personnel. A clearing point must be maintained to review and approve proposed forms, formats, and directives or other issuances promulgating or requiring forms. In addition, design assistance and corrective guidance for forms and related procedures must be provided.

ESTABLISHING AND OPERATING THE FORMS MANAGEMENT FUNCTION

As the first step in establishing the function in the activity, the commanding officer (CO) issues a directive that states the objectives of the function and assigns responsibility to one organizational unit for its administration.

Location and Staffing a Forms Management Office

The forms management office should be established on the same level and usually within the same organizational unit as other management functions because of the following reasons:

- It is and should be considered as an integral part of the activity's total management improvement effort.
- A study of forms normally involves change in procedures, records systems, and reports or other phases of management improvement.
- Forms management can and should complement other management improvement programs.
- The analytical capabilities required for forms analysis can be found most readily in an organizational unit responsible for total management improvement.

The number and complexity of the forms and related procedures in an activity determine the number of personnel assigned on a full-time or part-time basis to the forms management function.

In a large activity, it may be beneficial to appoint a forms management representative from each department, division, or other organizational component. Such representatives act as liaison with the forms management officer. These representatives assist the forms management officer in various capacities. They may act as liaison for the submission of proposed new or revised forms. They may be responsible for assisting in reviews and analyses of existing and proposed forms and related procedures within their organizational units. They may often design the final form. The operational knowledge provided by the representatives in their liaison duties speeds up the process of analysis and helps assure division acceptance of proposed improvement.

Operating the Forms Management Function

As the first step in the operation, the forms management office must obtain a complete picture of the forms situation of the activity. To do this, the forms management office collects copies of and information on all forms used in the activity. The forms include those initiated by the activity and those prescribed by other sources and used by the activity. These records are numbered according to the *Department of the Navy File Maintenance Procedures and Standard Subject ldentification Codes (SSIC),* SECNAVINST 5210.11D, and arranged by function in a file. The file brings together data in one place to simplify the evaluation, combination improvement, and elimination of forms.

Reviewing New or Revised Forms

Analysis is made not only of existing forms but also of all proposed new or revised forms. The proposed forms and the directives prescribing them or instructions for their use are submitted to the forms management office for review before issue.

The forms management office should stress its readiness and ability to assist in the developmental stages of the new or revised form. By assisting in the initial development of the form along with related procedures, the forms management officer can more readily understand problems that may arise and contribute to the development of solutions.

Continuing Review of Forms

The forms management plan emphasizes a continuing review of forms and related procedures preferably on an annual basis. To establish the most effective new forms and procedures and to analyze and improve existing forms and procedures, follow these steps:

- Get all the facts; that is, collect all pertinent information concerning the form and procedure under study.
- Subject the facts to detailed analytical questioning.
- Evaluate the results of such questioning and develop the necessary solution to the problems revealed by the questioning.
- Install and test the solutions.
- Follow up to see that the recommended solutions are continuing in effectiveness.

Table 5-1 shows some of the important highlights of forms management.

FORMS MANAGEMENT RECORDS

To analyze forms and their related procedures, it is essential to have an accurate and workable record of forms in use in the activity. This record is not the complete solution to effective forms management operation, but rather a tool with which you can obtain information and begin systematic analyses.

Collecting Samples of Forms

As discussed earlier, it is necessary that copies of all forms used in the activity are collected. The most satisfactory method of collecting the samples is by obtaining them from all organizational components, despite the fact that there will be duplicates.

Organizational components should submit a copy of each form it uses, both local and nonlocal. It is essential that the organizational units write on each form the name of the office using the form and the estimated annual usage and attach copies of any directives that prescribe the form or furnish information for its use. If the instructions for the form are part of a manual or publication, only the reference to the manual or publication need be noted.

Filing Forms by Standard Subject Identification Codes

When samples of forms have been collected, they are identified and filed. The SSIC is used to identify and number all the forms. When the forms are identified and assigned SSIC numbers, they should be placed in one tile. Identifying and filing forms by subject or function bring together all those having similar problems. This permits comparison of proposed and existing forms with all other similar or related forms. Thus, forms maybe consolidated, standardized, or eliminated if duplication exists.

To gain maximum benefits from the file, you should assign one individual the job of keeping the file up to date by adding new or revised forms and weeding out obsolete ones.

ARRANGEMENT AND CONTENTS.– Figure 5-1 shows a forms file arranged in numerical order by SSICs. Nonlocal forms are tiled in folders labeled with their basic SSIC; that is, all nonlocal forms in the 4700 subject group would be filed together, and the folder placed in numerical order in the file drawer.

A separate folder is prepared for each local form. It is labeled with (1) the originator's authorized abbreviation, (2) the SSIC, (3) the consecutive number, and (4) the title of the form; for example, SIMA PAC 4700/1-Job Order. As mentioned previously, the folders are filed numerically by SSIC and consecutive number behind the folders containing nonlocal forms in the same subject group. Dividers or dummy folders may be labeled and used to separate subject groups for which nonlocal forms are not available.

Each folder of local forms should contain the following:

- A copy of the directive prescribing the form or furnishing instructions for its use (or a reference to the directive if it is in manual form or otherwise unavailable)
- A copy of the approved design
- Printing requisitions and specifications
- A copy of the printed form and any subsequent revisions
- A reproducible copy, if pertinent
- A record of the cost of the form; that is, printing, designing, and procedural analysis costs

Table 5-1.-Highlights of Forms Management

EACH NEW FORM (NEW OR REVISED) AND RELATED PROCEDURE		
Examined	Evaluated	Followed Up
Is the form necessary? Could it be eliminated entirely? Could it be combined with other forms? Does the use of the form justify the cost? If the form is necessary: Does it provide adequate information? Does it include any unnecessary information? Does the content duplicate other forms? Is the procedure for collecting and furnishing the information the eestfor the particular situation? Is the procedure for using the completed form the simplest possible? Is the form design the most efficient for both entering the information and using it? Are the instructions clear and complete?	If some criteria are not met: RECOMMENDATIONS MADE FOR DISAPPROVAL OR MODIFICATION After consultation with: Requiring office Preparing office(s) Using office(s) Others concerned If all criteria are met: APPROVED	FOLLOW-UP AND CONTINUING SYSTEMATIC REVIEWS To ensure proper installation of proposed plans To determine modifications or improvements to meet changing conditions To determine continuing need
IS IT NECESSARY?	WILL IT DO THE JOB?	IS IT WORTH THE COST?

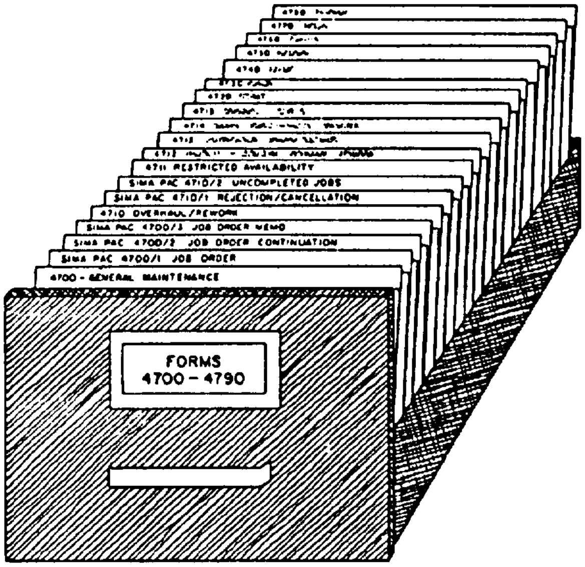
FORMS
4700 - 4790
4700 - GENERAL MAINTENANCE
SIMA PAC 4700/1 JOB ORDER
SIMA PAC 4700/2 JOB ORDER CONTINUATION
SIMA PAC 4700/3 JOB ORDER MEMO
4710 OVERHAUL/REWORK
SIMA PAC 4710/1 REJECTION/CANCELLATION
SIMA PAC 4710/2 UNCOMPLETED JOBS
4711 RESTRICTED AVAILABILITY

Figure 5-1.-Forms filed according to standard subject identification codes (SSICs).

- Related papers, analyses, surveys, or memoranda pertaining to the form or related procedures; information on contemplated revisions; or other data
- Records such as Forms Progress Record, NAVSO 5213/12, SN 0104-LF-904-1020

This is helpful in providing usage data, progress information, and so on. When a form is discontinued, the reason could be noted on this record.

CROSS-REFERENCE.– Regardless of your efforts to consolidate related information into one form to serve a variety of purposes or functions, two or more forms may still be required. Under this condition, similar SSICs will probably be used (though not required) for each form. Periodic review or the revision or cancellation of any one of these related forms may require similar action with the others. Across-reference to such related forms tiled in their respective folders will prove extremely helpful in effective forms management.

DISCONTINUED FORMS.– When a form becomes obsolete or is replaced by one prescribed by higher authority, the folder is transferred to a separate file. This file is organized in the same manner as the active tile; that is, it is arranged by SSIC in numerical order. The reason for the discontinuation of the form is noted in the record before the folder is placed in the discontinued file. Disposition of these tiles is governed by the *Navy and Marine Corps Records Disposition Manual*, SECNAVINST 5212.5C.

AREAS FOR POSSIBLE ANALYSIS

Forms dealing with a particular function or subject matter; for example, personnel, administration, and cost accounting, may provide reason for analysis with a view toward combining or eliminating forms. These reasons may include the following:

- Apparent duplication of records or forms for performing the function. More than one office may appear to be performing the same functions or operations or, within one office, the types of forms used or records maintained to perform the function may appear to duplicate each other.
- More than one form appears to be used for the same or similar function. (Here again you should study operations with a view toward streamlining and simplification.)

Usage of Forms

Estimates of annual usage entered on the forms by the offices submitting them may indicate areas in which to start analysis. One starting point often chosen is to analyze the highest usage forms in the activity; for example, the forms that are the 5 or 10 highest usage. These may involve not only high printing costs but a considerable man-hour expenditure on the procedures for their preparation or use.

Information in Directives or Instructions

The following clues are available from the directives submitted with the form.

FREQUENCY OF PREPARATION OR USE.– Forms filled out or posted on a daily or weekly basis may have a larger potential for clerical and administrative savings or improvement than forms used at less frequent intervals. If it is believed the frequency of preparation or use can be reduced (from weekly to monthly or other frequently), paper work can be cut.

DISTRIBUTION OF COPIES.– Each copy of a form that is distributed can entail man-hours in its processing and use whether it is the original or a copy. Moreover, the provision of information or might-have-a-need-for copies may result in a considerable man-hour expenditure in distributing, handling, and possibly filing whether any action is taken or not. Examination of the actual use made of each copy of a multiple-copy distribution may be a source of eliminating or curtailing paper work.

OBSOLETE SUBJECT MATTER OR SITUATIONS.– Forms that are still being used that appear to contain obsolete material or to have outlived their usefulness furnish possible leads. Clues come particularly from dates on forms or directives that appear to be unusually old; subject matter no longer current (for example, shortage of materials or skills no longer critical); use of the form (preparing forms to show violations, performance data, and the like after the situation requiring the information has passed); or other out-of-date practices.

Design of the Forms

Determining forms on which items can be rearranged or design improved for more efficient preparation or use is another profitable area. Some examples are the following:

- Forms on which completion could be improved by more effective use of aligned marginal stops, tabular and columnar spacing, eliminating or minimizing rollbacks and hand-positioning, or saving other typewriter motions
- Forms on which recurring items could be reprinted and fill-ins limited to variable information or on which ballot boxes could be used instead of lengthy write-ins
- Forms that could be mailed in window envelopes to eliminate retyping addresses
- Forms that should contain items for To and From information to eliminate preparing, handling, and filing separate transmittal letters

Part IV of the *Department of the Navy (DON) Forms Management Program*, SECNAVINST 5213.10C, contains a detailed treatment of design techniques.

BENEFITS FROM FORMS MANAGEMENT

The management of forms and their related procedures results in benefits such as the following:

Greater efficiency in:

- organization;
- operations; and
- procedures.

Greater economy in man-hours, space, and materials through:

- elimination of unnecessary forms and related procedures.
- consolidation, simplification, and standardization of necessary forms and related procedures.
- rapid and uniform handling and processing of data.
- reduced printing, stocking, and distribution costs.

Improved records through.

- analysis of the required subject matter.
- systematic and orderly arrangement of the required data on the form.

Better relations:

- within the activity.
- with other activities and agencies.
- with the public.

Some examples of actual benefits accomplished through forms management follow.

Navywide Improvement

The Secretary or the Under Secretary of the Navy is required by law to approve the payment of finds to nongovernmental institutions for training Navy civilian employees. The original procedure to approve or disapprove a request for payment of funds for such training required the processing of a minimum of 35 separate documents which, in turn, required a minimum of 56 separate operations. The requirements for the information to be submitted were not definite. The tendency was to include all possible data. Many of the requests were in the form of 30- to 40-page documents that contained a great deal of unnecessary information and lacked some of the essential details.

About 25 to 30 requests for tuition payment were being received each month. It was estimated that in 90 percent of the cases extensive use of telephone, letters, dispatches, and so forth, were required to obtain the actual data needed. Approximately 6 weeks elapsed between the time the activity forwarded the request and the time it was returned.

This procedure was simplified when one form was developed to take the place of the various documents that had previously been used. The form was designed so that all the offices involved could use the same one. The office requesting the training filled in the request and justification and each of the reviewing offices indicated approval or disapproval on the same form. Sufficient copies were prepared by the originator to provide copies for the tiles of offices concerned.

The revised procedure required the processing of a maximum of only 7 documents instead of the minimum of 35 documents. It also eliminated at least 26 of the 56 separate operations. The prescribed form provided for the submission of the right amount of information instead of too much or too little. It reduced the processing time in one office by 75 percent. The total processing time for all offices was reduced by a least 50 percent.

DON Headquarters Improvement

A survey of all forms used and prescribed by one headquarters resulted in the cancellation of 171 forms. The consequential elimination of man-hours formerly spent in preparing and processing these forms and the elimination of storage space through destruction of existing stocks resulted in substantial savings.

Considerable savings also resulted from the development of two new forms (procurement request and request for modification) to take the place of 7 headquarters forms, one of which consisted of 12 pages. The improvement reduced backlogs; preparation time; processing time; and paper, printing, storage, and distribution costs.

Activity Improvement

The preparation of a clearance order was found to be merely a copying operation as most of the data on the form were obtained from another form used in the same office for another purpose. The clearance order form was not designed for the most efficient use because the space allowed for the entries was insufficient, the sequence of entries did not coincide with that of the form from which the data were transcribed, and constant data were not reprinted. The transcribing operation often required overtime work to avoid backlogs.

When these two forms were consolidated into one, the transcribing operation was eliminated, overtime work was no longer necessary, and more efficient operation resulted as one form serving two purposes.

So you can see there is a definite advantage in managing forms in the Navy. Perhaps your command's system will not be as elaborate as the procedures described in this chapter, but if the basic principles are applied with a sincere interest toward forms management, you will accomplish more, save time and roomy, and get a great deal of satisfaction from the job.

REMEMBER

Personnel assisting you should be well-trained, both in forms design and in your command's forms management system. For assistance, contact your servicing NPPSO. They should especially understand the SSIC system for filing forms and be invited to suggest ways to improve its use; for example, a supplemental 3-inch by 5-inch card tile, arranged in alphabetical order by subject, showing printing dates and cost data (NAVSO 5213/12).

Personnel in organizational units with whom you have contact concerning forms should be aware of your desire to assist them as well as your need for their input and cooperation in carrying out your functions. Forms management cannot be accomplished by one person; it requires the active involvement of everyone from the CO down to be effective.